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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Hugh S. West Jr., M.D.

Serial No. 09/977,154

Confirmation No. 3848

Filed: October 12, 2001

For: IMPROVED INTERFERENCE SCREW HAVING  
INCREASED UPPER DIAMETER

Examiner: Not Yet Assigned

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## TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

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Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

### A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

X Form PTO-1449 listing twenty-two (22) references submitted for consideration.

X Copies of all of the references listed on the Form PTO-1449.

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

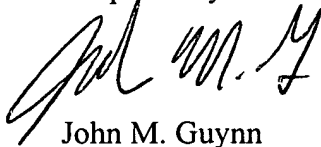
The transmitted Information Disclosure Statement is being filed before the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.

C. Fees

This Information Disclosure Statement is being filed before the mailing of the first Office Action, therefore no fee is due. The Commissioner is hereby authorized to charge payment of or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

Dated this 15<sup>th</sup> day of January 2002.

Respectfully submitted,



John M. Guynn  
Attorney for Applicant  
Registration No. 36,153



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Respectfully submitted,

John M. Guynn  
Attorney for Applicant  
Registration No. 36,153



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PATENT TRADEMARK OFFICE

Enclosures

PATENT APPLICATION  
Docket No. 14000.11



In re application of

Serial No. 09/977,154

Filed: October 12, 2001

Examiner: Not Yet Assigned

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3627  
FEB 26 2002  
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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, DC 20231

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# גמל חי

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be “prior art” within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

This Information Disclosure Statement is being submitted prior to the mailing of the first Office Action, therefore no fee is due. Please credit any over payment or charge any additional fees to Deposit Account No. 3-3178 of the undersigned. Duplicate copies of this sheet are attached.

Dated this 15<sup>th</sup> day of January 2002.

Respectfully submitted,



John M. Guynn  
Attorney for Applicant  
Registration No. 36,153



**022913**

PATENT TRADEMARK OFFICE

Form PTO-1449

Applicant: Hugh S. West Jr., M.D.  
Serial No. 09/977,157  
Filing Date: October 2, 2001  
Confirmation No. 3848  
For: IMPROVED INTERFERENCE SCREW HAVING INCREASED UPPER DIAMETER



Sheet 3 of 3

Att'y Docket No. 14000.11  
Group: 3627

### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

01-17-02

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2-2702



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PATENT APPLICATION  
Docket No. 14000.11

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CERTIFICATE OF MAILING BY "EXPRESS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of deposit: January 15, 2002.

- Information Disclosure Statement
- Form PTO-1449 Listing of Twenty-Two References
- Legible Copies of All Listed References
- Transmittal
- Postcard



022913

PATENT TRADEMARK OFFICE

Respectfully submitted,

John M. Guynn  
Attorney for Applicant  
Registration No. 36,153

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